**Complaints**

Complaints can be made through a variety of mediums including Email, Written Letters, & Phone calls, or In Person. Frank Investments has an internal complaint handling policy which will then be followed when any complaint is received. You will receive written acknowledgment of your complaint within 5 business days of receipt, the acknowledgment will also enclose more details of our complaint procedure. This is also available on request. The complaint will be handled by the Head Of Compliance or a director should the Head Of Compliance be involved in your complaint. Your complaint will be acted on promptly and with due care and diligence and the findings will be communicated to you as soon as possible.

If you are not satisfied with the resolution of the complaint and you are eligible you can also refer your complaint to the Financial Ombudsman Service.

*Complaints should be issued to*:

Amy Grovit

Head Of Compliance

Frank Investment Management

Lansdowne House,

57 Berkley Square

London W1J 6ER

Phone: 0203 994 9775

Email: Amy@frankinvestments.co.uk

 **UK Stewardship Code**

This statement outlines Frank Investments’ (the “**Firm**”) position with respect to the UK Stewardship Code (the “**Code**”), which was published by the Financial Reporting Council (“**FRC**”) in July 2010 and amended in September 2012.

The Code aims to enhance the quality of engagement between investors and companies to help improve long-term returns to shareholders and the efficient exercise of governance responsibilities. It sets out good practices on engagement with investee companies and is to be applied by firms on a “comply or explain” basis. It also describes steps that asset owners can take to protect and enhance the value that accrues to the ultimate beneficiary. The FRC recognises that not all parts of the Code will be relevant to all investors and that smaller asset managers may judge some of the principles and guidance to be disproportionate.

The Firm recognises the values and aims of the Code and is generally supportive of good stewardship as contained within the Code. As such, in practice, the Firm would take into consideration the principles as set out in the Code. However, the firm has not made a formal commitment of compliance with the Code.

The Firm provides discretionary portfolio management services to retail and professional clients and private equity management of funds. For discretionary portfolio management, the Firm does not regularly exercise voting rights on behalf of Investors but does actively monitor and engage with the management of its investee companies. Voting requests are assessed on their individual merits and in light of the relevant portfolio’s objectives at that time as well as the investment manager’s opinion of the situation, whilst always acting in the best interest of the Investor. The Firm takes an active role to vote in investments in private equity fund management. The Firm’s voting policy is not prescribed, and the Firm does not report on its stewardship or voting activities

**Regulatory**

Frank Investments Limited is authorised and regulated by the Financial Conduct Authority with registration number 627697.

Frank Investments Ltd is a Private Limited Company registered in England and Wales with registration number 05629005 and registered offices at 24 Old Bond Street, London, United Kingdom, W1S 4AP